

Please note:

This document is a tool used by surveyors to conduct surveys of Assisted Living Facilities. This tool does not address every statute, rule, and regulation enforced by the Arizona Department of Health Services. In addition, State and local statutes, codes, and ordinances enforced by other agencies may apply to Assisted Living Facilities and are not included in this document. It is the responsibility of each provider to ensure compliance with all applicable statutes, rules, codes, and ordinances.

FACILITY NAME: _____ LICENSE # _____

FACILITY ADDRESS: _____

CITY: _____ ZIP CODE: _____ SURVEY DATE: ____/____/____

STATUTES	Y	N	N/A	FINDINGS
A.R.S. § 36-402 Exemptions (8). 2 residents; no advertising				
A.R.S. § 36-406 Powers (1)(c). Access to records				
A.R.S. § 36-406(1)(d). Flu/pneumonia vaccines available on-site annually & documentation				
A.R.S. § 36-407 Prohibited (A). Unlicensed care/above #				
(C). License valid only for premises; nontransferable				
(D). Licensee not offer rebate (professional referrals)				
A.R.S. § 36-425 Inspections (A). License posted				
A.R.S. § 36-425(D) Post location of inspection reports				
RULES - <u>OBSERVATION</u>				
703. Administration. A. Allow immediate access to Department, county health department, APS, Ombudsman, & fire department.				
B. Conspicuously posts 22 Resident rights; Current community phone numbers; Internal facility requirements;				
Each assistant caregiver is under the direct supervision of a manager or caregiver at all times;				
An assistant caregiver, who is 16 or 17 years old, or a volunteer does not provide assistance for Bathing, Toileting, Transfer, Self-administration of Medication, Medication administration, or Nursing services.				
Manager or caregiver does not provide direct supervision to more than 2 assistant caregivers;				
705. Limitations. Facility does not accept or retain a resident who requires: Physical restraints, Chemical restraints, Behavioral health residential services, Services that facility is not licensed to provide; or Services that facility is not able to provide.				

STATUTES	Y	N	N/A	FINDINGS
708. Personnel. Sufficient personnel to provide, unless ALTCS contracts permit otherwise: Supervisory, personal, or directed care services, consistent with the level of service the facility is licensed to provide; Services established in each resident's service plan; Services to meet the needs of each resident including scheduled & unscheduled needs, general supervision, & the ability to intervene in a crisis 24 hours a day; Food services; Environmental services required in 718; Evacuations of residents during emergencies; & Ongoing social, recreational, or rehabilitative activities.				
B. A personnel schedule indicates date, scheduled work hours, & name of each employee assigned; Reflects actual work hours; & Is maintained on the premises for 12 months from the last date on the schedule.				
710. Resident Rights. C. Language barriers or physical disabilities do not prevent a resident or rep from becoming aware of internal facility requirements & resident rights.				
711. Service Plans. B. Resident is provided, consistent with the level of service the facility is licensed to provide: Supervisory, personal, or directed care services specified in service plan; Supervisory, personal, or directed care services to meet resident's scheduled & unscheduled needs; General supervision to ensure crisis intervention during an emergency, accident, incident, illness, or significant change in resident's physical, functional, or cognitive condition; Supervisory, personal, or directed care services that promote independence, dignity, choice, self-determination, & the resident's highest physical, cognitive, & functional capability; Assistance in utilizing community resources, as applicable; Encouragement & assistance to preserve outside support systems; & Social interaction to maintain identity & self-worth.				
712. Activities. A calendar of activities: Is prepared at least 1 week in advance from the date the activity is provided; Is conspicuously posted; Reflects all substitutions in activities provided; Is maintained on the premises for 12 months after the last scheduled activity; & Equipment & supplies are available & accessible to accommodate each resident who chooses to participate in an activity.				
Daily newspapers, current magazines, & a variety of reading materials are available & accessible.				

STATUTES	Y	N	N/A	FINDINGS
713. Medication. Medication stored by licensee is in a locked container, cabinet, or area that is inaccessible to residents; Not left unattended by an employee; Stored in the original labeled container, except for medication organizers, & according to instructions on the medication label; A bathroom or laundry room is not used for medication storage; & All expired or discontinued medication, including those of deceased residents, are disposed of according to facility's medication P&Ps;				
Medication stored by a resident in the resident's room or unit is kept in a locked container or cabinet or a resident locks the entrance to the room or unit when the resident is not in the room or unit, & an employee has a key & access to the resident's room or unit & medication storage container or cabinet or as stated in service plan;				
Except for medication organizers, medication is not pre-poured; Organizers may be prepared up to 4 weeks in advance by: A resident or the rep; A resident's relatives; A nurse; or as otherwise provided by law.				
715. Food Services. A. Three meals a day, served with not more than a 14 hour span between the evening meal & morning meal, & 1 snack a day is available to residents, unless otherwise prescribed by a therapeutic diet; Meals & snacks meet each resident's nutritional needs based upon the resident's age & health needs; Menu Dated & conspicuously posted.				
A 3 day supply of perishable & a 3 day supply of non-perishable foods;				
Water is available & accessible to residents at all times.				
C. Food is free from spoilage, filth, or other contamination & is safe for human consumption; is protected from potential contamination; Except for food from a garden or orchard, food is obtained only from sources that comply with all laws relating to food & food labeling; Canned food is commercially canned; Foods requiring refrigeration are maintained at 41° F. or below; Foods requiring cooking are cooked to heat all parts of the food to a temperature of at least 140° F., except that: Ground beef, poultry, poultry stuffing, stuffed meats & stuffing containing meat are cooked to heat all parts of the food to at least 165° F.; Pork & any food containing pork are cooked to heat all parts of the food to at least 155° F.; Rare roast beef is cooked to an internal temperature of at least 140° F. & rare beef steak is cooked to a temperature of at least 130° F. unless otherwise requested by a resident; & Leftovers are reheated to a temperature of 165° F. ;				

STATUTES	Y	N	N/A	FINDINGS
A refrigerator contains a thermometer, accurate to + or - 3° F. at the warmest part of the refrigerator;				
Raw fruits & raw vegetables are rinsed with water before being cooked or served; Food is stored in covered containers, a minimum of 6 inches above the floor, & protected from splash & other contamination; Frozen foods are stored at a temperature of 0° F. or below; Food service is not provided by an individual infected with a communicable disease that may be transmitted by food handling or in which there is a likelihood of the individual contaminating food or food-contact surfaces or transmitting disease to other individuals; Before starting work, after smoking, using the toilet, & as often as necessary to remove soil & contamination, individuals providing food services wash their hands & exposed portions of their arms with soap & warm water; & Tableware, utensils, equipment, & food-contact surfaces are clean & in good repair.				
716. Physical Plant. Facility is hazard-free; Has a common area & a dining area that: Are not converted, partitioned, or otherwise used as a sleeping area; & Contain furniture to accommodate the recreational & socialization needs of residents & other individuals in the facility;				
At least 1 bathroom, containing at least a flushable toilet & a sink, that is accessed from a common area;				
Hazard-free outdoor area with shaded protection where residents may walk or sit; &				
Wheelchair ramps or other access from exterior doors for residents using wheelchairs or other assistive devices.				
B. No more than 2 individuals reside in a unit or bedroom. A facility that provides documentation of operating before 11/1/98 with more than 2 individuals living in a unit or bedroom may continue to if there is 60 square feet or more for each individual living in the unit or bedroom;				
A bedroom or unit is not used to access a common room, common bathroom, or another bedroom or unit unless written consent is obtained from the resident or the rep; has A window to the outside; or A door made of glass to the outside; & To provide safe egress in an emergency, a bedroom or unit has: A window that either: Meets the requirements of the local jurisdiction; or Has no dimension less than 20 inches, is at least 720 square inches, & has a window sill that is no more than 44 inches off the floor; or A door to the outside.				

STATUTES	Y	N	N/A	FINDINGS
C. A swimming pool complies with all laws & rules for swimming pool construction & safety &: Is enclosed by a 5 foot solid wall, fence, or barrier with either vertical or horizontal open spaces that do not exceed 4 inches; or Is inaccessible to residents & is granted an exception as prescribed in 702(F) from the enclosure requirements; Has self-closing, self-latching gates that are kept locked when the swimming pool is not in use; & Has pool safety requirements conspicuously posted in the swimming pool area.				
718. Environmental. A facility & grounds are: In good repair; Clean; Free of odors; Free of any object, material or condition that may be a hazard based on the physical, cognitive, & functional condition of the residents; & Free of insects & rodents;				
Garbage & refuse are: Stored in covered containers lined with plastic bags; & Removed from the premises at least once a week;				
Heating & cooling systems maintain the facility at a temperature between 68° F. to 85° F. at all times. A resident with an individual temperature-controlled unit or room may heat & cool to provide for individual comfort;				
Common areas are lighted to assure safety of residents;				
Hot water temperatures are maintained between 95° F. & 120° F. in the areas of facility used by residents;				
The supply of hot & cold water is sufficient to meet the personal hygiene needs of residents;				
A common bathroom has toilet paper; soap; & cloth towels, paper towels, or a mechanical air hand dryer accessible to residents;				
Soiled linen & soiled clothing are stored in closed containers away from food storage, kitchen, & dining areas;				
Oxygen containers are maintained in an upright position;				
Poisonous or toxic materials stored are maintained in labeled containers in a locked area separate from food preparation & storage, dining areas, & medications;				
Combustible or flammable liquids & hazardous materials are stored in the original labeled containers or safety containers outside the facility or in an attached garage locked & inaccessible to residents;				
Pets or animals are: Controlled to prevent endangering the residents & to maintain sanitation; Licensed consistent with local ordinances; A dog is vaccinated against rabies, leptospirosis, distemper, hepatitis, & parvo; & A cat is vaccinated against rabies & feline leukemia;				

STATUTES	Y	N	N/A	FINDINGS
A container with first-aid supplies, in a quantity sufficient to meet the needs of all residents, is accessible to employees. First aid supplies include at least band-aids, sterile bandages or gauze pads, antiseptic solution, tweezers, scissors, tape, & disposable latex gloves;				
If a non-municipal water source is used, is tested every 12 months for total coliform bacteria & fecal coliform or E. Coli bacteria & corrective action is taken to ensure the water is safe to drink. Documentation of testing is retained on the premises for 24 months from the date of the test; &				
If a non-municipal sewage system is used, the sewage system is in working order & is maintained according to all applicable state laws & rules.				
719. Supplemental Home. A. Each bedroom is of standard construction with walls from floor to ceiling with at least 1 door. If a bedroom door is capable of being locked from the inside, an employee shall have a key & access to the bedroom at all times; 80 square feet of floor space, excluding closets, bathrooms, alcoves, or vestibules, for a resident in a private bedroom & at least 60 square feet of floor space for each resident sharing a bedroom with another individual; Bedroom used by a resident who is receiving personal care services or directed care services is equipped with a bell, intercom, or other mechanical means to alert employees to a resident's needs or emergencies; Unless the resident provides the resident's own furnishings: A bed, 36 inches wide or larger, consisting of at least a frame & mattress that is clean & in good repair; Clean linen including mattress pad, sheets large enough to tuck under the mattress, pillows, pillow cases, bedspread, waterproof mattress covers as needed, & blankets to ensure warmth & comfort for each resident; A bedside lamp that provides light for reading; Storage space for clothing; Individual storage space for personal effects; & Adjustable window covers that provide resident privacy;				
Bathroom has at least 1 working flushable toilet, 1 working sink, & 1 working tub or shower for each 8 individuals living in the home; Sink is in the same bathroom as the toilet or in a room adjacent to the toilet, & is not used for food preparation; Each bathroom provides privacy when in use & contains: A mirror, unless the resident's service plan requires otherwise; A means of ventilation or an operable window; Nonporous surfaces for shower enclosures, clean usable shower curtains, & slip-resistant surfaces in tubs & showers; & Grab bars for the toilet & tub or shower & other assistive devices, if required in a resident's service plan, to provide for resident safety; & If a bathroom has a door locking from the inside, an employee has key & access to the bathroom at all times;				

STATUTES	Y	N	N/A	FINDINGS
Resident is not housed on a floor that does not open onto the ground level unless: There is a secondary means of emergency exit that the resident is capable of using; & The resident is ambulatory without assistance & is able to direct self-care;				
Resident has access to laundry service or a washing machine & dryer in the home.				
B. A written evacuation plan, identifying interior exits, is conspicuously posted; A portable, all-purpose fire extinguisher that meets at a minimum, a 2A-10-BC rating is installed & maintained in the home as prescribed by the fire authority having jurisdiction; Serviced every 12 months or as recommended by the manufacturer; Tagged specifying the date of recharging & the name of the organization performing the work; & Placed on wall brackets so that the top handle of the extinguisher is not over 5 feet from the floor & the bottom of the extinguisher is at least 4 inches off the floor;				
Smoke detectors are installed according to the manufacturer's instructions in Bedrooms; Hallways that adjoin bedrooms; Storage rooms & laundry rooms; Attached garages; Rooms or hallways adjacent to the kitchen; & Other places recommended by the manufacturer;				
Smoke detectors that are battery-operated are equipped with a device that warns of a low battery. If more than 2 violations of an inoperative battery-operated smoke detector are cited in a 24 month period, the smoke detector is hard wired into the electrical system; & detectors are inspected as often as recommended by the manufacturer & kept in working order.				
720. Supplemental Center. A. Center or a portion of a center providing personal care services or directed care services: Has a fire alarm system, & a sprinkler system; or Has an alternative method to ensure the resident's safety approved by the local jurisdiction & granted an exception as prescribed in 702(F).				
B. Resident has access to a laundry service or a washing machine & dryer in the center.				
C. Resident's sleeping area is contained in a unit or a bedroom.				
Unit shall: Have at least 220 square feet of floor space, excluding the bathroom & closet, for 1 individual & an additional 100 square feet of floor space, for a second individual; Have an individually keyed entry door. A key shall be provided to resident or rep, & an employee shall have a key & access to the unit at all times;				

STATUTES	Y	N	N/A	FINDINGS
<p>Unit used by a resident receiving personal care services or directed care services shall be equipped with a bell, intercom, or other mechanical means to alert employees to a resident's needs or emergencies. A licensee may request an exception from this requirement as prescribed in 702(F) for a resident who is unable to direct self-care if there is an alternative method of communication;</p> <p>Have a bathroom that provides privacy when in use & contains: A working flushable toilet; A working sink; A working tub or shower; A mirror, unless the resident's service plan requires otherwise; A means of ventilation or an operable window; Nonporous surfaces for shower enclosures, clean usable shower curtains, & slip-resistant surfaces in tubs & showers; & Grab bars for the toilet & tub or shower & other assistive devices, if identified in service plan, to provide for resident safety;</p> <p>Resident-controlled thermostat for heating & cooling;</p> <p>Kitchen area equipped with: A working sink; A working refrigerator; A cooking appliance that can be removed or disconnected; Space for food preparation; & Storage for utensils & supplies;</p> <p>Unless the resident provides the resident's own furnishings: A bed, 36 inches wide or larger, consisting of at least a frame & mattress that is clean & in good repair;</p> <p>Clean linen including mattress pad, sheets large enough to tuck under the mattress, pillows, pillow cases, bedspread, waterproof mattress covers as needed, & blankets to ensure warmth & comfort for each resident;</p> <p>A bedside lamp that provides light for reading;</p> <p>Storage space for clothing;</p> <p>Individual storage space for personal effects;</p> <p>Adjustable window covers that provide resident privacy;</p> <p>One armchair or side chair; &</p> <p>One table where a resident may eat a meal.</p>				
Bedroom (see 719 A 1-4).				
Bathroom (see 719 A5)				
<p>D. Make any repairs or corrections stated on an inspection report:</p> <p>Sanitation inspections, conducted a minimum of every 12 months by a local health department; &</p> <p>Fire inspections, conducted no less than every 36 months by a local fire department or the State Fire Marshal.</p>				
E. Maintain current reports of sanitation & fire inspections on the facility premises.				
<u>RECORD REVIEW</u>				
702. Licensing Classification s. D&E. Request to change sub-classification or level of service.				
F. Request for pool, fire alarm/sprinkler, or mechanical means exception.				
703. Administration. A2. On-site manager.				

STATUTES	Y	N	N/A	FINDINGS
3. Not manage more than two facilities & not located more than 40 miles apart.				
4. Designate another manager when the manager is absent from the premises for more than 30 consecutive days.				
5. Written notification of change of ownership, facility name change, or termination of operation & location of records no later than 30 days before effective date of change.				
6. Not act as a rep, agent, surrogate, health care power of attorney, power of attorney, guardian, or conservator of a resident who is not a relative.				
8. Except when a resident's service needs change as documented in service plan, resident receives at least 30 days written notice before any increase in a fee or charge.				
B.1. Develops & implements written P&Ps for the day-to-day operation of facility including: Deposits & refunds; Resolving resident grievances; Terminating residency; Obtaining resident preferences for activities & food; Assisting residents with medication; Protecting/releasing/confidentiality of resident records; Facility & grounds are safe & free from hazards based upon the physical, cognitive, & functional condition of the residents; Ensuring resident safety with a swimming pool, spa, or other contained body of water; Ensuring the safety of residents & other individuals & pet & animal sanitation;				
3. Each resident & individual living in facility provides documentation of freedom from TB every 12 months;				
4. Designation of 1 or more individuals who are 21 years of age or older, who meet the qualifications for a caregiver as the manager's designee & is present & in charge of the facility when the manager is not at the facility;				
5. Hires & directs employees & support staff to ensure compliance with rules;				
9. Ensures compliance with fingerprinting (submit within 20 days after start date);				
10. Notifies a rep, or contacts a public fiduciary or a trust officer to take responsibility of a resident's financial affairs if resident is incapable of handling financial affairs;				

STATUTES	Y	N	N/A	FINDINGS
<p>12. When there is an accident, incident, or injury that affects resident's health & safety, Immediately notifies the rep, & if applicable, PCP;</p> <p>Emergency response team;</p> <p>Resident's case manager;</p> <p>Resident's emergency contact; &</p> <p>Documents date & time of the accident, incident, or injury;</p> <p>Description of the accident, incident, or injury;</p> <p>Names of individuals who observed the accident, incident, or injury;</p> <p>Action taken by employees, support staff, or volunteers;</p> <p>Individuals notified by employees, support staff, or volunteers; &</p> <p>Action taken to prevent in future;</p>				
<p>15. Ensures the health & safety of a resident is maintained during relocation of a resident & that the resident's records are relocated with the resident;</p>				
<p>C. Manager may, upon written authorization by resident or rep, administer a personal funds account, not to exceed \$500 each month. Resident or rep may revoke, in writing, this authorization at any time.</p> <p>Maintain a separate record for each resident's personal funds account including all receipts & expenditures;</p> <p>Maintain the resident's personal funds account separate from any account of facility; &</p> <p>Provide a copy of a resident's personal funds account record to resident or rep at least once every 3 months.</p>				
<p>704 . Abuse/Neglect/Exploitation. B. Notify the Department of suspected or alleged within 24 hours;</p> <p>Document the initial report & maintain on the premises for 12 months;</p> <p>Report to APS or to a local law enforcement agency;</p> <p>Investigate & develop a written report within 14 days of the initial report;</p> <p>Send the written report to the Department, APS, & any local law enforcement agency previously notified & maintain a copy of the written report on the premises for 12 months. Written report contains: Dates, times, & description of the suspected or alleged abuse, neglect, or exploitation; description of any injury to resident; change in resident's physical, cognitive, functional, or emotional condition; actions taken by the licensee; individuals & agencies notified by the licensee; names of witnesses; & Action taken by the licensee to prevent from occurring in the future .</p>				

STATUTES	Y	N	N/A	FINDINGS
706. Personnel. A. At the starting date of employment or service & every 12 months from the starting date of employment or service, each support staff & volunteer who interacts with a resident on a regular basis & each employee submits 1 of the following as evidence of being free TB: a. A report of a negative Mantoux skin test administered within 6 months of submitting the report; or b. A written physician's statement dated within 6 months of submitting the statement, indicating freedom from TB, if the individual has had a positive skin test for TB;				
B. At the starting date of employment as a manager, meets all of the following: 21 years of age or older; Certified by the Board of Examiners as an ALF manager or certified ACH manager before 11/1/98 & maintains current certification, or is an AFC sponsor;				
Verification of completion of manager training from a training program as stated in 724(B) or provides 1 of the following: Grandfathered in training, NCI administrator, AFC sponsor, Documentation of employment as a manager of an unclassified residential care institution (RCI or RUC), SRLC, or SCH on 11/1/98;				
706 B4. Provides verification of completion of training from a training program as stated in 724(B) in the level of service the facility is licensed to provide or documentation of 1 of the following: For supervisory care services, employment as a manager or caregiver of a SCH on 11/1/98; For supervisory or personal care services, employment as a manager or caregiver of a SRLC on 11/1/98; For supervisory, personal, or directed care services, 1 of the following: Documentation of training as a manager or caregiver from a Board of Examiners approved training program before 11/1/98; A nursing care institution license issued by the Board of Examiners; A nurse's license; Documentation of employment as a manager or caregiver of an unclassified residential care institution (RCI or RUC) on 11/1/98; Documentation of sponsorship of or employment as a caregiver in an AFC on 11/1/98; or A certificate as a nursing assistant in good standing & employment as a caregiver in an ACH on 11/1/98; &				
A minimum of 12 months of health-related experience.				
C. A caregiver, at the starting date of employment as a caregiver: Is 18 years of age or older; Meets the training requirements in 706 B4 (see above); & Has a minimum of 3 months of health-related experience.				

STATUTES	Y	N	N/A	FINDINGS
D. An assistant caregiver, at the starting date of employment as an assistant caregiver, is 16 years of age or older.				
E. A file is maintained on the premises for each employee containing name, date of birth, home address, & telephone number; Freedom from TB; Compliance with fingerprinting; Current training in CPR & first aid; Employee qualifications; Employee orientation; Ongoing training; Starting date of employment & ending date, if applicable;				
4. For each employee hired after 11/1/98, 2 personal & 2 professional or work-related references, if the employee has previous work experience, & documentation of the licensee's good faith effort to contact each reference.				
G. All records required by this section are maintained throughout the individual's period of employment or service & for 12 months from the individual's last date of employment or service.				
707. Employee Orientation/Ongoing Training A. New employee completes orientation within 10 days from starting date of employment: Characteristics & needs of residents; Promotion of resident dignity, independence, self-determination, privacy, choice, & residents rights; Significance & location of services plans & how to read & implement; Internal facility requirements; Confidentiality of residents records & information; Infection Control; Food preparation, service, & storage; if applicable; Abuse, neglect, & exploitation reporting; Fire, safety, & emergency procedures;				
B. Each manager & caregiver completes 6 hours of ongoing training every 12 months from the starting date of employment, or if hired before 11/1/98, every 12 months from 11/1/98. Training shall include: Promoting resident dignity, independence, self-determination, privacy, choice, & resident rights; Fire, safety, & emergency procedures; Infection control; Assistance in self-administration of medications; & Abuse, neglect, & exploitation prevention & reporting; (Orientation for new employees, hours used in obtaining & maintaining current CPR & first aid, & hours used in obtaining initial training from a training program may count toward ongoing training for the first 12 months after the employee's starting date of employment.)				

STATUTES	Y	N	N/A	FINDINGS
709. Residency Agreements. A. Resident accepted into a facility after 11/1/98 & who is not an enrolled member of the ALTCS: a written agreement signed by licensee & any individual submitting a deposit or other pre-payment of fees before licensee receives a deposit or other pre-payment of fees.				
C. Each resident has a residency agreement that includes: Terms of occupancy, including resident responsibilities & obligations; Services to be provided; Amount & purpose of any fee, charge, & deposit, including any fee or charge for any days a resident is absent from the facility; Services that are available at an additional fee or charge; Facility's policy for refunding fees, charges, or deposits; Facility's responsibility to provide at least 30 days written notice before the effective date of any change in a fee or charge. A licensee is not required to provide 30 day written notice of increase to a resident whose service needs change, as documented in the service plan; Facility's policy & procedure for termination of residency; & Facility's grievance procedure;				
2. A residency agreement is signed & dated by manager or manager's designee & resident or rep within 5 days after the resident's acceptance into facility;				
4. A residency agreement that has been signed, is maintained on the premises throughout the resident's residency.				
D. Deposit or pre-payment of fees: Except for a Life Care Contract does not exceed 1 month's fees; Deposit is maintained in a bank account separate from facility's operating expenses; Deposit or portion of a deposit is not used for any purpose other than as stated in the resident's residency agreement; & Only deductions: Damages to property caused by resident, excluding normal wear & tear; A fee or charge incurred by resident; or Resident's documented non-compliance with the residency agreement.				
E. Licensee may terminate residency without notice if: Resident exhibits behavior that is an immediate threat to the health & safety of resident or other individuals in facility; Resident's urgent medical/health needs require immediate transfer to another health care institution; Resident's care & service needs exceed the services facility is licensed to provide;				
Licensee may terminate residency after providing 14 days written notice for 1 of the following reasons: Documentation of failure to pay fees or charges; Documentation of resident's non-compliance with the residency agreement or internal facility requirements;				

STATUTES	Y	N	N/A	FINDINGS
Except for the above, a licensee shall not terminate residency without providing 30 days written notice;				
Resident or rep may terminate residency without notice if Substantiated by a governmental agency neglect, abuse, exploitation; or Imminent danger to life, health, or safety;				
G. Upon issuing a written notice of termination, provide: Copy of service plan; Documentation of freedom from TB; & Phone numbers & addresses of the local area agency on aging & Ombudsman.				
H. Not request or retain fees: After the date of the resident's death or termination for substantiated abuse, neglect, exploitation, or imminent danger; For more than 14 days from the date the written notice was received by the facility, if termination occurs as permitted for no notice or 14-day notice, & For more than 30 days after termination, for reasons other than death, no notice, or 14-day notice.				
I. Within 30 days after the date of termination of residency, A written statement that includes: Disposition of personal property; Accounting of all fees, personal funds, or deposits owed to the resident; Accounting of any deduction from fees or deposits; & All fees or deposits required by this section & personal funds.				
711. Service Plans. A. Resident has a written service plan that: Is initiated the day a resident is accepted; Completed 14 days after acceptance; Developed with assistance & review from: Resident or rep; Manager or manager's designee; Nurse, if the resident is receiving nursing services, medication administration, or is unable to direct self-care; Case manager, if applicable; Any individual requested by resident or rep & based on an assessment conducted with resident interaction with those individuals; & If applicable & necessary, any of the following: caregivers, assistant caregivers, the resident's PCP, or other medical practitioner;				
Level of service resident is receiving; Amount, type, & frequency of health-related services; & Each individual responsible for the provisions of the service plan;				
Signed & dated by: Resident or rep; Manager or the manager's designee; Nurse & Case manager, if they assisted in the preparation or review of the plan; &				

STATUTES	Y	N	N/A	FINDINGS
Updated 14 days after a significant change in physical, cognitive, or functional condition; & every 12 months for a resident receiving supervisory care services; 6 months for a resident receiving personal care services; 3 months for a resident receiving directed care services.				
713. Medications. A. Resident's service plan states whether: Requires no assistance in the self-administration of medication or medication administration; Needs assistance in the self-administration of medication which includes 1 or more of the following: Storing a resident's medication; Reminding that it is time to take a medication; Reading the medication label to resident to: Confirm the medication is being taken by the individual it is prescribed for; Check the dosage against the label on the container & reassure resident that the dosage is correct; & Confirm resident is taking the medication as directed; Opening the medication container for a resident; Pouring or placing a specified dosage into a container or into resident's h&; or Observing resident while the medication is taken; or Needs medication administration.				
B. Medication P&Ps approved by a physician, pharmacist, or RN & address: Obtaining & refilling; Storing & controlling; Disposing; Assisting in the self-administration of medication & medication administration; & Recording of medication assistance & maintenance of medication records;				
Drug reference guide, no older than 2 years from the copyright date, is available & accessible;				
Separate medication record is maintained for each resident receiving assistance in self-administration of medication or medication administration that includes: Name of resident; Name of medication, dosage, directions, & route of administration; Date & time medication is scheduled to be administered; Date & time of actual assistance in self-administration of medication or medication administration; & Signature or initials of employee.				

STATUTES	Y	N	N/A	FINDINGS
714. Resident Records. A. Resident's record contains: Name & social security number; date of acceptance, source of referral, & last address; Names, addresses, & phone numbers of: The rep & case manager, if applicable; PCP; Each medical practitioner providing health-related services or medical services to the resident; & An individual or relative to be contacted in the event of emergency, significant change in condition, or termination of residency; Residency agreement & amendments; Documentation of receipt of internal facility requirements, resident rights, & community phone numbers; Documentation of orientation to the evacuation plan; The service plan, its amendments & updates; A health care directive, if applicable; Documentation of freedom from TB; Any orders from PCP or medical practitioner as required in 722 or 723; Medication records; Accident, incident, or injury reports; Written authorizations for residency or continued residency; Documentation of any change in behavior, physical, cognitive, or functional condition & action taken by employees to address the changing needs; Written notice of termination of residency, Address & phone number of new place of residence, Relocation assistance provided, & Disposition of personal property & monies owed to resident, if applicable.				
B. Resident's record is: Confidential & only released with written permission from the resident or the rep, or as otherwise provided by law; Maintained at the facility; Legibly recorded in ink or electronically recorded; Retained for 3 years from the date of termination of residency; & Available for review by the resident or the rep during normal business hours or at a time agreed upon by the resident & the manager.				
C. Resident's financial records are maintained separate from a resident's record & are only accessible to individuals designated by the licensee.				
715. Food. Menus are Based on: Resident food preferences, eating habits, customs, health conditions, appetites, & religious, cultural, & ethnic backgrounds & The Food Guide Pyramid; Prepared at least 1 week before the date the food is served; & Maintained on the premises for at least 60 days;				
Meals & snacks provided by the facility are served according to preplanned menus. Substitutions to the pre-planned menu are on menu; contain a variety of foods from each food group in Food Guide Pyramid;				
B. If facility offers therapeutic diets, A therapeutic diet manual, no older than 5 years from the copyright date, is available & accessible for use by employees; & The therapeutic diet is provided to a resident according to a written order from the resident's physician or as otherwise provided by law.				
716. Physical Plant. A. Complies with all local building codes, ordinances, fire codes, & zoning.				

STATUTES	Y	N	N/A	FINDINGS
717. Fire & Safety. A. A written evacuation plan is developed & maintained on the premises;				
A written disaster plan, identifying a relocation plan for all residents from the facility, is developed & maintained on the premises;				
An employee fire drill every 3 months on each shift. Residents are not required to participate in an employee fire drill. Includes making a general announcement throughout the facility that an employee fire drill is being conducted or sounding a fire alarm;				
A resident fire drill every 6 months includes residents, employees & support staff on duty, & other individuals in the facility; includes making a general announcement throughout the facility that a resident fire drill is being conducted or sounding a fire alarm; &				
Records of employee & resident fire drills are maintained on premises for 12 months & include date & time, names of employees participating, & identification of residents needing assistance.				
B. Resident receives orientation to evacuation plan within 24 hours of acceptance into facility. Documentation signed & dated by resident or rep.				
<u>INTERVIEW</u>				
703. Administration. A. Manager & each manager's designee read, write, understand, & communicate in English.				
Immediate access to resident's rep, case manager, court-assigned individual.				
709. Residency Agreements. C. Copy of residency agreement is given to the resident or the rep.				
710. Resident Rights. A. Resident or rep is provided the following at the time the resident is accepted & acknowledges in writing receipt of: current 22 resident rights; current internal facility requirements; & current community phone numbers.				
Ask residents, reps/families, caregivers re: care & services.				
<u>SUPPLEMENTAL</u>				
721. Licensed Supervisory. Resident may receive nursing services or health-related services from a licensed home health agency, licensed hospice service agency, or private duty nurse.				

STATUTES	Y	N	N/A	FINDINGS
<p>722. Licensed Personal. A. Shall not: Accept or retain a resident unable to direct self-care; or an individual who requires continuous nursing services unless: Under the care of a licensed hospice service agency; The continuous nursing services are provided by a private duty nurse; or facility is AFC;</p> <p>Accept or retain a resident who is bedbound unless: Short-term illness or injury; or The following met at onset of condition or when resident is accepted into the facility: Written authorization of residency or continued residency is signed & dated by the resident or the rep; The PCP, who has examined the resident within 30 days from the onset of condition or upon acceptance into the facility, signs & dates a statement authorizing residency at the facility. PCP shall examine resident at least once every six months throughout the duration of condition & signs & dates a statement authorizing continued residency; Service plan is revised to include increased need for services; Resident is under the care of a nurse, licensed home health or licensed hospice; Facility is meeting the resident's needs; & documents the services provided; &</p>				
<p>Shall not Accept or retain a resident who has a stage 3 or stage 4 pressure sore, as determined by a nurse or medical practitioner, unless the facility meets the requirements above .</p>				
<p>B. In addition to ongoing training for supervisory care services (6 hours - see 707B), each manager & caregiver completes a minimum of 2 hours of ongoing training in providing personal care services every 12 months from the starting date of employment, or for a manager or caregiver hired before 11/1/98 , every 12 months from 11/1/98.</p>				
<p>C. Resident receiving personal care services is provided: Skin maintenance to prevent & treat bruises, injuries, pressure sores, & infections; Sufficient fluids to maintain hydration; Incontinence care that ensures that a resident maintains the highest practicable level of independence & dignity when toileting; An assessment conducted by PCP of each resident who needs medication administration or nursing services within 30 days of being accepted into the facility or within 30 days of developing the need for nursing services or medication administration; & Documentation of a resident's weight for each resident receiving medication administration or nursing services. A resident's weight shall be recorded in service plan when plan is developed or updated.</p>				
<p>D. Assistance in the self-administration of medication or medication administration for a resident receiving personal care services requires written medication order from PCP, medical practitioner, or as otherwise provided by law. A medication order includes: The name of resident; The name, strength, quantity, route of administration, & directions; Precautionary statements, if applicable; & The signature of PCP or medical practitioner & date signed;</p>				

STATUTES	Y	N	N/A	FINDINGS
Verbal medication order from PCP or medical practitioner is noted in medication record within 24 hours of receipt of order & a supporting written order is obtained from the PCP or medical practitioner within 14 days. Only a manager or caregiver may receive a verbal medication order;				
Only the following individuals provide medication administration: A rep or a resident's relatives; A nurse or other medical practitioner, or other individual authorized by law to provide medication administration; or An employee authorized in writing by a resident's physician;				
A nurse, pharmacist, or PCP reviews the medication & medication record of each resident receiving medication administration or nursing services at least every 90 days & after a significant change in condition;				
Employees & support staff do not provide non-prescription medication unless medication order from PCP or medical practitioner; &				
When a PRN medication is administered on a regular basis, PCP or medical practitioner is notified & a written order is obtained within 14 days.				
E. A treatment for a resident receiving personal care services that cannot be self-administered is administered by a nurse or as otherwise provided by law; & is administered according to a written order from the resident's PCP or medical practitioner. A treatment order shall include the: Name of resident; Name, route of administration, & directions for use of treatment ordered; Precautionary statements related to the administration, if applicable; & Signature of PCP or medical practitioner & date signed;				
Verbal treatment order from a PCP or medical practitioner is noted in a resident's record within 24 hours of receipt of order & a supporting written order is obtained within 14 days. Only a manager or caregiver may receive a verbal treatment order; &				
Written record of treatment administered is completed by an employee & includes the: Name of treatment, frequency, & route of administration; Date & time treatment is scheduled to be administered; & Date & time of actual treatment administration & signature or initials of the individual administering treatment.				
723. Licensed Directed. A. A rep is designated for a resident who is unable to direct self-care.				
B. Shall not accept or retain a resident who: Is bedbound, Needs continuous nursing services, or Has a stage 3 or stage 4 pressure sore as determined by a nurse or other medical practitioner unless the requirements in 722(A) are met.				

STATUTES	Y	N	N/A	FINDINGS
C. In addition to ongoing training for supervisory (6 hours - see 707B) & personal care services (2 hours), each manager & caregiver completes 4 hours in providing services to residents who are unable to direct self-care every 12 months from the starting date of employment, or for a manager or caregiver hired before 11/1/98, every 12 months from 11/1/98.				
D. In addition to 722(C), Direct supervision to ensure personal safety; Coordination of communications with each rep, relatives, case manager, if applicable, & other individuals identified in service plan; Cognitive stimulation & activities to maximize functioning; Encouragement to eat meals & snacks; An assessment by a PCP within 30 days of being accepted into the facility or within 30 days of becoming unable to direct self-care; & Documentation of a resident's weight. A resident shall be weighed & weight recorded in service plan when plan is developed or reviewed.				
E. Medication, 722(D), met for a resident receiving personal or directed care services.				
F. Treatments for a resident receiving personal or directed care services are administered as in 722(E).				
G. Record of services provided by licensed home health or licensed hospice including: A description of service provided & date & time provided; Name, address, & phone number of agency; & Instructions for care in service plan & communicated to employees.				
H. P&Ps that ensure the continued safety of a resident who may wander;				
Access at all times to an outside area that is secure & egress 30 feet from the facility; or Meets the Special Egress-Control Devices provisions;				
I. Incident notification requirements in 703(B)(12) each time a resident who is unable to direct self-care wanders off grounds.				